

OTAGO POLYTECHNIC MANAGEMENT POLICY		Number: MP0433.02
Title:	Monitoring and Review of Employees on Probation	
ITPNZ Standard:	4 Staff Selection, Appraisal and Development	
Chief Executive Approval:	Approval Date: 3 Feb 10	Effective Date: 3 Feb 10
Previous Policy Number:	n/a	Review Date: as required
Contact Authority:	Director: Organisational Development	Status: Current

Purpose This policy requires the formal monitoring of, reporting on, and decisions about the progress of new employees who are subject to probation requirements as a condition of their employment.

Background Monitoring and review provides opportunities for the early identification of strengths which would be helpful in the employee's career as well as barriers that may potentially hinder the ability of new employees to achieve job satisfaction, or that may prevent them from meeting the performance requirements of their position.

Statutory Compliance Employment Relations Act 2000
State Sector Act
Education Act

Policy This policy applies to all employees who are subject to a formal probation requirement as part of their employment agreement. Policy MP0460 Performance Review contains detail on managing staff performance that may be a useful referral document.

- Responsibilities**
1. Managers
Managers ensure monitoring and review of employees on probation is carried out within their area of responsibility in accordance with this Policy.

'Managers' refers to any position to which the responsibility to conduct performance reviews has been delegated.
 2. Employees
Employees are actively involved with the review process.
 3. Human Resources
Human Resources coordinates the formal monitoring and review of employees on probation, maintains records and provides support and advice to managers and staff. A report is provided to Leadership Team every six months.

Procedures In accordance with both collective and individual employment agreements, new employees who are subject to a probationary requirement are required to undergo monitoring and review and to complete, in conjunction with their Manager, a Monitoring and Review Report (see Schedule 1) as follows:

1. Initial Report

Prior to the completion of three months' service, a Monitoring and Review Report is completed describing any identified strengths, development areas, significant changes to position requirements or factors that may have hindered performance during the initial three month period. Such



factors may include, but are not limited to, physical environment, equipment, personal capabilities, lack of training, resourcing or workload issues.

The report must also include details of any training/development that has been resourced and provided during the first three months.

2. Individual Development Plan

An Individual Development Plan (IDP) completed in accordance with MP0434 Staff Development must be attached to the Monitoring and Review Report.

NB: Academic staff in certain circumstances may be required to use their discretionary leave for improvement activities. Any staff member may be required to use their professional development allocation for improvement purposes.

3. The Head of School, Manager or other designated supervisor is required to recommend confirmation of appointment under the appropriate employment agreement;

or

confirm extension of the monitoring and review period, in which case the date of the next review must be set.

NB: For academic staff refer also to Clause 5.2.

NB: It is generally expected that academic staff who have not previously taught will complete at least one full teaching cycle (usually one semester) before appointment is confirmed.

4. Confirmed Appointments

The completed Monitoring and Review Report is forwarded to Human Resources with a recommendation regarding confirmation.

4.1 The original report is held by Human Resources for inclusion in the employee's personal file.

4.2 Copies of the report are kept by the employee, the manager or other designated supervisor and, if requested by the Employee, a copy is sent to the appropriate union.

4.3 Human Resources will formally notify the employee of confirmation of their employment.

5. Appointments not Confirmed

If it is intended not to confirm the employee's appointment, or the monitoring and review period is being extended beyond the original agreement communicated in the offer of employment, advice must be obtained from Human Resources.

5.1 After seeking advice from Human Resources, specific reasons for any non-confirmation shall be recorded. Information about all training and other support details and a clear outline of what is required to achieve confirmation shall be provided in the report and discussed with the employee, including the date of the next review.

- 5.2 For academic staff, the initial review is an interim review and the employee may be required to serve an extended probationary period of up to two years. Therefore, the date of the next review period shall be indicated. Confirmation of appointment is then as in 4. Subsequent monitoring reviews for academic staff may be undertaken prior to 6 months, 12, 18 and 24 months, as agreed on appointment and specified in the letter offering employment.

After seeking advice from Human Resources, it may be that discontinuation of employment is recommended.

**Referral
Documents**

Employment Agreements
MP0434 Staff Development
MP0460 Performance Review

Approved by Chief Executive

Date: 3 February 2010



Otago Polytechnic

Monitoring Report
for Newly Appointed Staff on Probation

Confidential

SECTION A:

Employee's Name: _____

School/Department: _____

Position Title: _____

Date Appointed: _____

Staff Category: General Academic

Period of Probation (per employment agreement) _____
(3 months for general staff; 12 months academic staff)

THIS REPORT: Initial Report general - within 1 month; academic – within 3 months
 6 months
 12 months
 18 months
 24 months

SECTION B: (To be completed by the employee and his/her Manager, as appropriate.)

1.0 Indicate what feedback on performance has been provided.
Manager feedback Student/Client feedback as appropriate
Colleague Feedback as appropriate

2.0 Describe the employee's strengths, as revealed by the feedback obtained as above.

3.0 Describe any areas of performance where the employee needs to develop and in particular if this is needed in order to recommend confirmation of the employee in their position (reference this to the position description, any agreed performance objectives, and to feedback from Manager, students/clients, colleagues etc.)

4.0 Identify any factors that may have hindered/contributed to the employee's performance over the review period.

5.0 Describe any significant changes to the employee's position description during the review period. Why were these changes made? Attach new position description.

6.0 List the training/development that has been resourced and provided to the employee, and undertaken, during this period. If this is a second or subsequent review, indicate the extent to which the Individual Development Plan has been implemented.

7.0 Individual Development Plan (IDP)
Attach a copy of the IDP prepared as per Otago Polytechnic Staff Development Policy.

NB: The policy on Staff Development requires that any performance issues are addressed as a priority in the employee's IDP.



SECTION C:
(To be completed by the Manager)

REVIEW OUTCOME:

The probationary appointment recommendation is to be (✓) tick one:

- Confirmed as a permanent appointment
- Continued for _____ months (specify period)
- Employment discontinued.

NB:

If the decision is to recommend confirm the appointment or extend the probation period, state the reasons – and outline the requirements to be fulfilled in order to confirm the appointment.

If the recommendation is to discontinue employment, state the reasons and what actions have been taken. List what training has been given to correct the poor performance.

(Signed Manager)

_____/_____/_____
(Date)

Employee's Comments (Optional)

(1) _____

(2) Please send a copy of this to:

- TIASA
- TEU
- OTHER

(Signed Employee)

_____/_____/_____
(Date)

Original to: Human Resources

Copy to: Employee
HOS/Programme Mgr/Manager/Supervisor
TIASA/TEU (if requested by employee)

